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PTO/SB/08a (08-03)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	09/711,323
Filing Date	11/9/2000
First Named Inventor	Valdes, et al.
Group Art Unit	2131
Examiner Name	Aravind K. Moorthy
Attorney Docket Number	10454-014002 (SRI/4190-3)
Submission Date	April 12, 2006

Sheet 1

of 15

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
AM	A1	US - 5,825,750	10-20-1998	Thompson	
	A2				
	A3				
	A4				
	A5				
	A6				
	A7				
	A8				
	A9				
	A10				
	A11				
	A12				
	A13				
	A14				
	A15				
	A16				
	A17				
	A18				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
	B1					
	B2					
	B3					
	B4					
	B5					

Examiner

/Aravind Moorthy/

Date Considered

08/08/2006

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2

15

Application Number	09/711,323
Filing Date	11/9/2000
First Named Inventor	Valdes, et al.
Group Art Unit	2131
Examiner Name	Aravind K. Moorthy
Attorney Docket Number	10454-014002 (SRI/4190-3)
Submission Date	April 12, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
AM	C1	JOINT CLAIM CONSTRUCTION STATEMENT, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation, and Symantec Corporation a Delaware Corporation, (13 pages), Certificate of Service dated March 17, 2006	
AM	C2	SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation, a Delaware Corporation, pp 1-22, Dated November 15, 2005	
AM	C3	EXHIBIT A-1 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES, "EMERALD 1997", EMERALD 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-51, November 15, 2005.	
AM	C4	EXHIBIT A-2 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, ANALYSIS AND RESPONSE FOR INTRUSION DETECTION IN LARGE NETWORKS- SUMMARY FOR CMAD WORKSHOP, "EMERALD-CMAD", EMERALD - CMAD INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-33, November 15, 2005.	
AM	C5	EXHIBIT A-3 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES CONCEPTUAL OVERVIEW, "EMERALD-CONCEPTUAL OVERVIEW", EMERALD - CONCEPTUAL OVERVIEW INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-34, November 15, 2005.	
AM	C6	EXHIBIT A-4 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, CONCEPTUAL DESIGN AND PLANNING FOR EMERALD: EVENT MONITORING ENABLING RESPONSES TO LIVE DISTURBANCES, "EMERALD - CONCEPTUAL DESIGN 1997", EMERALD - CONCEPTUAL DESIGN 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103 pp.1-56, November 15, 2005.	
AM	C7	EXHIBIT A-5 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, LIVE TRAFFIC ANALYSIS OF TCP/IP GATEWAYS, "EMERALD - LIVE TRAFFIC ANALYSIS", EMERALD - LIVE TRAFFIC ANALYSIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-44, November 15, 2004.	
AM	C8	EXHIBIT A-6 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NEXT GENERATION INTRUSION DETECTION EXPERT SYSTEM (NIDES) A SUMMARY, "NETWORK NIDES", NETWORK NIDES INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-40, November 15, 2005	
AM	C9	EXHIBIT A-7 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, SCALABLE INTRUSION DETECTION FOR THE EMERGING NETWORK, "JI-NAO", EACH OF JI-NAO AND JI-NAO SLIDES INVALIDATE THE INDICATED CLAIMS UNDER 5 U.S.C. § 102 (b), pp.1-76, November 15, 2005.	

Examiner /Aravind Moorthy/

Date Considered 08/08/2006

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		Filing Date	11/9/2000	
		First Named Inventor	Valdes, et al.	
		Group Art Unit	2131	
		Examiner Name	Aravind K. Moorthy	
		Attorney Docket Number	10454-014002 (SRI/4190-3)	
Sheet	3	15	Submission Date	April 12, 2006

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AM	C10	EXHIBIT A-8 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, A NETWORK SECURITY MONITOR, "NSM", NSM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-9, November 15, 2005.	
AM	C11	EXHIBIT A-9 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, DISTRIBUTED INTRUSION DETECTION SYSTEM, "DIDS FEBRUARY 1991 AND DIDS OCTOBER 1991", EACH OF DIDS FEBRUARY 1991 AND DIDS OCTOBER 1991 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-88, November 15, 2005.	
AM	C12	EXHIBIT A-10 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, GRAPH BASED INTRUSION DETECTION SYSTEM FOR LARGE NETWORKS, "GRIDS 1996 AND GRIDS 1997", GRIDS 1996 AND GRIDS 1997 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-39, November 15, 2005.	
AM	C13	EXHIBIT A-11 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, WHEELGROUP CORPORATION, "NETRANGER", EACH OF NETRANGER USER GUIDE 1.3.1 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-34, November 15, 2005.	
AM	C14	EXHIBIT A-12 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, INTERNET SECURITY SYSTEMS, "REALSECURE", REALSECURE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-22, November 15, 2005.	
AM	C15	EXHIBIT A-13 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, THE ARCHITECTURE OF A NETWORK LEVEL INTRUSION DETECTION SYSTEM, "NETWORK LEVEL INTRUSION DETECTION", NETWORK LEVEL INTRUSION DETECTION INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-20, November 15, 200.	
AM	C16	EXHIBIT A-14 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, U.S. PATENT NO. 5,825,750 (THOMPSON), U.S. PAT. NO. 5,825,750 (THOMPSON) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (a) AND 102(e), pp. 1-13, November 15, 2005.	
AM	C17	EXHIBIT A-15 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS, FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-9, November 15, 2005.	

Examiner	/Aravind Moorthy/	Date Considered	08/08/2006
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		Filing Date	11/9/2000	
		First Named Inventor	Valdes, et al.	
		Group Art Unit	2131	
		Examiner Name	Aravind K. Moorthy	
		Attorney Docket Number	10454-014002 (SRI/4190-3)	
Sheet	4	15	Submission Date	April 12, 2006

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AM	C18	EXHIBIT A-16 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, HARRIS CORPORATION, "STAKE OUT NETWORK SURVEILLANCE", STAKE OUT NETWORK SURVEILLANCE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-12, November 15, 2005.	
AM	C19	EXHIBIT A-17 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, HP OPENVIEW FOR WINDOWS USER GUIDE, "HP OPENVIEW", HP OPENVIEW AND THE INTERNET STANDARDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-29, November 15, 2005.	
AM	C20	EXHIBIT A-18 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, INTERNETWORK SECURITY MONITOR, "ISM", ISM AND DIDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103, pp. 1-80, November 15, 2005.	
AM	C21	EXHIBIT A-19 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD 1997, INTRUSIVE ACTIVITY 1991, NIDES 1994, EMERALD 1997, INTRUSIVE ACTIVITY 1991, AND NIDES 1994 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-53, November 15, 2005.	
AM	C22	EXHIBIT A-20 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NETSTALKER AND HP OPENVIEW, NETSTALKER AND HP OPENVIEW INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-32, November 15, 2005.	
AM	C23	EXHIBIT A-21 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NETWORK FLIGHT RECORDER, NETWORK FLIGHT RECORDER INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-53, November 15, 2005.	
AM	C24	EXHIBIT A-22 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, AUTOMATED INFORMATION SYSTEM "AIS", AIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-21, November 15, 2005.	
AM	C25	EXHIBIT A-23 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, COMPARISON OF LISTED PUBLICATIONS TO CLAIMS -AT-ISSUE OF SRI'S PATENT-IN-SUIT FOR 35 U.S.C. § 103, pp. 1-57, November 15, 2005.	

Examiner	/Aravind Moorthy/	Date Considered	08/08/2006
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		Group Art Unit	2131
		Examiner Name	Aravind K. Moorthy
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Sheet 5	15	Submission Date	April 12, 2006

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AM	C26	SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, SRI International, Inc., a California Corporation v. Internet Security Systems Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation, and Symantec Corporation, a Delaware Corporation, pp.1-22, Certificate of Service dated November 15, 2005	
AM	C27	EXHIBIT 1 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-60, November 15, 2005.	
AM	C28	EXHIBIT 2 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, CMAD INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp 1-27, November 15, 2005.	
AM	C29	EXHIBIT 3 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD CONCEPTUAL OVERVIEW INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-35, November 15, 2005.	
AM	C30	EXHIBIT 4 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, CONCEPTUAL DESIGN AND PLANNING FOR EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES VERSION 1.2, 20 May 1997 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-58, November 15, 2005.	
AM	C31	EXHIBIT 5 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, LIVE TRAFFIC ANALYSIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), PP. 1-52, November 15, 2005.	
AM	C32	EXHIBIT 6 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NEXT-GENERATION INTRUSION DETECTION EXPERT SYSTEM (NIDES): A SUMMARY INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-47, November 15, 2005	
AM	C33	EXHIBIT 7 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, JI-NAO INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-100, November 15, 2005	

Examiner	/Aravind Moorthy/	Date Considered	08/08/2006
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AM	C34	EXHIBIT 8 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NSM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-17, November 15, 2005.	
AM	C35	EXHIBIT 9 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, DIDS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-114, November 15, 2005.	
AM	C36	EXHIBIT 10 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11; ISM AND DIDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103. pp.1-91, November 15, 2005.	
AM	C37	EXHIBIT 11 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, GHDS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-41, November 15, 2005	
AM	C38	EXHIBIT 12 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NETRANGER INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-32, November 15, 2005.	
AM	C39	EXHIBIT 13 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, REALSECURE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-21, November 15, 2005.	
AM	C40	EXHIBIT 14 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, THE NETWORK FLIGHT RECORDER SYSTEM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-73, November 15, 2005.	
AM	C41	EXHIBIT 15 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NETSTALKER AND HP OPENVIEW INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-21, November 15, 2005.	

Examiner <u>/Aravind Moorthy/</u>	Date Considered <u>08/08/2006</u>
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		Group Art Unit	2131
		Examiner Name	Aravind K. Moorthy
		Attorney Docket Number	10454-014002 (SRI/4190-3)
Sheet 7	15	Submission Date	April 12, 2006

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AM	C42	EXHIBIT 16 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, HP OPENVIEW AND THE INTERNET STANDARDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-26, November 15, 2005.	
AM	C43	EXHIBIT 17 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11," NETWORK LEVEL INTRUSION DETECTION SYSTEM" (AUGUST 1990) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-22, November 15, 2005.	
AM	C44	EXHIBIT 18 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, US PATENT NUMBER 5,825,750 (THOMPSON) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (a) and 102 (e), pp.1-21, November 15, 2005.	
AM	C45	EXHIBIT 19 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11," FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS" INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-17, November 15, 2005.	
AM	C46	EXHIBIT 20 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, STAKE OUT NETWORK SURVEILLANCE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-24, November 15, 2005.	
AM	C47	EXHIBIT 21 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD 1997, INTRUSIVE ACTIVITY 1991, AND NIDES 1994 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103, pp. 1-62, November 15, 2005.	
AM	C48	EXHIBIT 22 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, AUTOMATED INFORMATION SYSTEM - AIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-15, November 15, 2005.	
AM	C49	EXHIBIT 23 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, COMPARISON OF LISTED PUBLICATIONS TO CLAIMS-AT-ISSUE OF SRI'S PATENTS-IN-SUIT FOR 35 U.S.C. § 103, pp. 1-127, November 15, 2005.	
AM	C50	SECOND SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NO. 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-17, Certificate of Service dated March 28, 2006.	
AM	C51	SYMANTEC CORPORATION'S FIFTH SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORY NO. 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-15, dated March 28, 2006.	
AM	C52	SRI INTERNATIONAL, INC.'S RESPONSES TO DEFENDANTS ISS-GA'S SECOND SET OF INTEROGATORIES (NOS. 19-20) AND SRI'S THIRD SUPPLEMENTAL RESPONSE TO ISS-GA'S INTERROGATORY NO. 17, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-54, Certificate of Service dated December 15, 2005	

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AM	C53	SRI INTERNATIONAL, INC.'S RESPONSE TO SYMANTEC'S INVALIDITY AND INEQUITABLE CONDUCT CONTENTIONS, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-50, Certificate of Service dated December 15, 2005	
AM	C54	SRI INTERNATIONAL, INC.'S SUPPLEMENTAL RESPONSE TO INTERROGATORIES NO 12. AND NO. 15, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc. a Delaware Corporation, Internet Security Systems, Inc. a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-6, Certificate of Service date December 15, 2005	
AM	C55	SRI INTERNATIONAL, INC.'S "AMENDED" RESPONSE TO SYMANTEC'S INVALIDITY AND INEQUITABLE CONDUCT CONTENTIONS, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-51, Certificate of Service date December 16, 2005	
AM	C56	S.S. CHEN et al, GrIDS - A Graph Based Intrusion Detection System for Large Networks, 19th National Information Security Systems Conference, 1996	
AM	C57	L.T. HEBERLEIN, et al., Internetwork Security Monitor, Proc. 15th National Computer Security Conference, October 13-16 1992, pp. 262-271	
AM	C58	B. MUKHERJEE et al., Network Intrusion Detection, IEEE Network 8(3), pp. 26-41, May/June 1994	
AM	C59	B. GLEICHAUF AND D. TEAL, NetRanger High-level Overview Version 1.1, WheelGroup Corp., November 1996	
AM	C60	S.R. SNAPP, et al., A System for Distributed Intrusion Detection, COMPCON Spring'91, Digest of Papers, San Francisco, CA, 25 February - 1 March 1991, pp. 170-176	
AM	C61	JAMES BRENTANO et al., An Architecture for a Distributed Intrusion Detection System, Proc. 14th Department of Energy Computer Security Group Conference, May 7-9 1991, pp 17.25-17.45.	
AM	C62	L.T. HEBERLEIN et al., Towards Detecting Intrusions in a Networked Environment, Proc. 14th Department of Energy Computer Security Group Conference, pp. 17.47-17.65, May 7-9 1991	

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AM	C63	L.T. HEBERLEIN , Towards Detecting Intrusions in a Networked Environment, Technical Report CSE-91-23, Division of Computer Science, UC Davis, June 1991	
AM	C64	L.T. HEBERLEIN et al., A Method to Detect Intrusive Activity in a Networked Environment, Proc. 14th National Computer Security Conference, pp. 362-371, October 1991	
AM	C65	RANUM et al., Implementing a Generalized Tool for Network Monitoring, Proc. 11 th Systems Administration Conference (LISA'97), San Diego, CA, October 1997	
AM	C66	STEVEN SNAPP et al., Intrusion Detection Systems (IDS): A Survey of Existing Systems and a Proposed Distributed IDS Architecture, CSE-91-7, allegedly dated February 1991	
AM	C67	L.T. HEBERLEIN et al., Network Attacks and an Ethernet-based Network Security Monitor, Proc. 13th Department of Energy Computer Security Group Conference, pp. 14.1-14.13, May 8-10 1990	
AM	C68	RealSecure 1.1: User Guide and Reference Manual, 1997	
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AM	C70	3Com, HP Openview for Windows User Guide for Transcend Management Software, Version 6.1 for Windows and '97 for Windows NT, October 1997	
AM	C71	3Com, HP Openview for Windows Workgroup Node Manager User Guide for Transcend Management Software, Version 6.0 for Windows, January 1997	
AM	C72	Y. FRANK JOU et al., Architecture Design of a Scalable Intrusion Detection System For the Emerging Network Infrastructure, Technical Report CDRL A005, DARPA Order E296, Department of Computer Science, North Carolina State University, April 1997	
AM	C73	Y. FRANK JOU AND S. FELIX WU, Scalable Intrusion Detection for Emerging Network Infrastructures, IDS Program Review Presentation, SRI, July 1997	

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AM	C75	SHYHTSUN F. WU et al., Intrusion Detection for Link-state Routing Protocols, December 2, 1996	
AM	C76	DIHENG QU et al., Statistical Anomaly Detection for Link-state Routing Protocols, 6th International Conference on Network Protocol (ICNP '98), pp. 62-70, October 1998	
AM	C77	T. LUNT et al., A Real-time Intrusion Detection Expert System (IDES): Final Technical Report, Technical Report, SRI Computer Science Laboratory, Menlo Park, CA, 28 February 1992	
AM	C78	T.F. LUNT et al., IDES: A Progress Report, Proc. 6th Annual Computer Security Applications Conference, pp. 273-285, 1990	
AM	C79	PC Week, NetRanger Keeps Watch Over Security Leaks, September 1997	
AM	C80	Network Systems Corp., Data Privacy Facility Administrator's Guide Version 1.2, September 1995	
AM	C81	Haystack Labs, NetStalker, Installation and User's Guide, Version 1.0.2, 1996	
AM	C82	WheelGroup Corp., NetRanger User's Guide, 1996	
AM	C83	WheelGroup Corp., NetRanger User's Guide 1.2, 1997	
AM	C84	P.PORRAS AND P. NEUMANN, EMERALD : Event Monitoring Enabling Responses to Anomalous Live Disturbances Conceptual Overview, December 18, 1996	
AM	C85	WheelGroup Corp, WheelGroup Press Release Summary, undated.	
AM	C86	WheelGroup Corp., WheelGroup Releases NetRanger 2.0, Press Release, August 25, 1997	

Examiner	/Aravind Moorthy/	Date Considered	08/08/2006
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AM	C88	WheelGroup Corporation, NetRanger User Guide Version 1.3.1, 1997	
AM	C89	Graph-based Intrusion Detection System (GRIDS) Home Page, webpage allegedly archived July 19, 1997	
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AM	C100	RFC 1157, A Simple Network Management Protocol (SNMP), May 1990	
AM	C101	RFC 1213, Management Information Base for Network Management of TCP/IP-based Internets: MIB-II, March 1991	
AM	C102	RFC 1441, Introduction to Version 2 of the Internet-standard Network Management Framework, April 1993	
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AM	C105	RFC 1451, Manager-to-Manager Management Information Base, April 1993	
AM	C106	RICHARD HEADY et al., The Architecture of a Network Level Intrusion Detection System, Technical Report CS90-20, University of New Mexico, Department of Computer Science, August 15, 1990	
AM	C107	ISS, RealSecure 1.0: User Guide and Reference Manual, 1996	
AM	C108	KARL LEVITT AND CHRISTOPHER WEE (Eds.) Proceedings of Fourth Workshop on Future Directions in Computer Misuse and Anomaly Detection, Monterey, California, November 12-14 1996	
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AM	C110	WheelGroup Corp., Traditional Security Basics, Undated	
AM	C111	T.F. LUNT et al., A Real-time Intrusion Detection Expert System (IDES): Interim Progress Report Project 6784, SRI International, May 1990	
AM	C112	ISS, RealSecure web page, allegedly dated 1997	

Examiner	/Aravind Moorthy/	Date Considered	08/08/2006
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	09/711,323
Filing Date	11/9/2000
First Named Inventor	Valdes, et al.
Group Art Unit	2131
Examiner Name	Aravind K. Moorthy
Attorney Docket Number	10454-014002 (SRI/4190-3)
Submission Date	April 12, 2006

Sheet 13

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
AM	C113	ISS, Built-in Attack Recognition Capabilities Give Organizations Power to Detect and Respond to Attacks Before It's Too Late, Press release, May 12, 1997	
AM	C114	ISS, More About RealSecure: General Description and Comparison to Existing Systems, web page, allegedly available July 21, 1997	
AM	C115	ISS, Frequently Asked Questions about RealSecure, web page, allegedly last updated May 30th 1997, and alleged available July 21, 1997	
AM	C116	ISS, Frequently Asked Questions about RealSecure, web page, allegedly last updated October 21st 1997, and alleged available January 20, 1998	
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AM	C119	ISS, Internet Security Systems Launches RealSecure 1.0 For Windows NT, Press release, May 12, 1997	
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AM	C124	ISS, RealSecure Release Dates Table, Undated.	
AM	C125	MARK MILLER, Managing Internetworks with SNMP, 2nd Edition, 1997	
AM	C126	NFR, Frequently Asked Questions / Troubleshooting Guide, Undated	

Examiner

/Aravind Moorthy/

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Sheet 14

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Application Number	09/711,323
Filing Date	11/9/2000
First Named Inventor	Valdes, et al.
Group Art Unit	2131
Examiner Name	Aravind K. Moorthy
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AM	C127	NFR Beta Handbook, November 1997	
AM	C128	Harris Corporation Web Site allegedly obtained from archive.org,	
AM	C129	ROY MAXION et al., A Case Study of Ethernet Anomalies in a Distributed Computing Environment, IEEE Transactions on Reliability, 39(4), pp. 433-443, October 1990.	
AM	C130	NetRanger SQL Queries, allegedly dated May 28 1997	
AM	C131	FRANK FEATHER et al., Fault Detection in an Ethernet Network Using Anomaly Signature Matching, Computer Communication Review, SIGCOMM'93 Conference Proceedings, pp. 279-288, September 13-17, 1992	
AM	C132	NFR Version 2.0 Library, October 5, 1998	
AM	C133	NFR Version 2.0 Getting Started Guide, undated	
AM	C134	NFR Version 2.0 User's Guide, undated	
AM	C135	NFR Version 2.0 Advanced User's Guide, undated	
AM	C136	NFR Version 2.0 Glossary, undated	
AM	C137	Haystack Labs, NetStalker for Network Systems Corporation, web page, allegedly dated 1996	
AM	C138	Haystack Labs, Network Systems and Haystack Labs introduce NetStalker to Track Hacker Attempts, Press Release, November 10, 1995	

Examiner

/Aravind Moorthy/

Date Considered

08/08/2006

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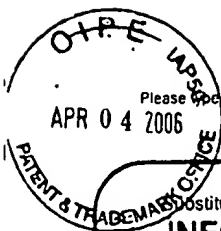
Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	09/711,323	
		Filing Date	11/9/2000	
		First Named Inventor	Valdes, et al.	
		Group Art Unit	2131	
		Examiner Name	Aravind K. Moorthy	
		Attorney Docket Number	10454-014002 (SRI/4190-3)	
Sheet	15	15	Submission Date	April 12, 2006

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AM	C139	C. SCHUBA, On the Modeling, Design and Implementation of Firewall Technology, Ph.D. Thesis, Purdue University, December 1997	
AM	C140	NFR User Guide, Version 1.1, November 1997	
AM	C141	NFR Version 1.0beta2 Source Code	
AM	C142	L. TODD HEBERLEIN, Network Security Monitor Final Report, allegedly dated February 1995	
AM	C143	STEVEN R. SNAPP et al., The DIDS (Distributed Intrusion Detection System) Prototype, Proc. Summer 1992 USENIX Conference, June 8-12 1992.	
AM	C144	RealSecure 1.2.2: User Guide and Reference Manual, September 11, 1997	
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Examiner	/Aravind Moorthy/	Date Considered	08/08/2006
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INSTITUTE FOR FORM 1449A/PTO **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Application Number	09/711,323
Filing Date	11/09/2000
First Named Inventor	VALDES, et al.
Group Art Unit	2131
Examiner Name	MOORTHY, A.K.
Attorney Docket Number	10454-014002 (SRI/4190-3)
Submission Date	March 31, 2006

Sheet 1 of 4

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
AM	A1	6,067,582	05-2000	Smith, et al.	
AM	A2	6,119,236 A	09-2000	Shiple, P.M.	
AM	A3	6,192,392	02-2001	Ginter	
AM	A4	6,269,456	07-2001	Hodges et al.	
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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
AM	B1	WO 03/077071	09/18/2003	Giphertrust, Inc.		
AM	B2	WO 02/101516 A2	12/19/2002	Intruvert Networks		
AM	B3	WO 99/57625	11/11/1999	PRC Inc.		
	B4					
	B5					

Examiner

/Aravind Moorthy/

Date Considered

08/08/2006

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	09/711,323
		Filing Date	11/09/2000
		First Named Inventor	VALDES, et al.
		Group Art Unit	2131
		Examiner Name	MOORTHY, A.K.
		Attorney Docket Number	10454-014002 (SRI/4190-3)
Sheet 2	of 4	Submission Date	March 31, 2006

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		Number-Kind Code ² (if known)			
AM	A19	6,553,378 B1	04-2003	Eschelbeck, G.	
AM	A20	6,681,331 B1	01-2004	Munson et al.	
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Examiner	/Aravind Moorthy/	Date Considered 08/08/2006
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AM	C1	SHOSTACK, A., "An overview of SHTTP, pp 1-7, May 1995	
AM	C2	RADLAN, "Intrusion Detection, Extend the Monitoring and Protection of Your Network", Radlan White Paper, pp. 1-7, February 1999	
AM	C3	ISS, "Introduction to RealSecure Version 3.0", pp.1-46, 1999	
AM	C4	NETWORK ASSOC., "Next Generation Intrusion Detection In High-Speed Networks", pp.1-18, 1999	
AM	C5	ALMGREN, et al., "A lightweight Tool for Detecting Web Server Attacks," Network and Distributed Systems Security (NDSS 2000) Symposium Proceedings, pp. 157-170, 2000, copy provided is marked as pp. 1-14	
AM	C6	ALMGREN, et al., "Application-Integrated Data Collection for Security Monitoring, " From Recent Advances in Intrusion Detection (RAID 2001) Springer, Davis, California, pp. 22-36 October 2001 (copy provided comprises of pp. 1-21)	
AM	C7	DANIELS, et al. " A network Audit System for Host-based Intrusion Detection (NASHID) In Linux," 16 th annual Computer Security Application Conference (ACSAC 00) pp. 1-10, December 2000	
AM	C8	DANIELS, et al. "Identification of Host Audit Data to Detect Attacks on Low-Level IP Vulnerabilities, " J. Computer Security, 7 (1), pp. 3-35, 1999	
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AM	C10	HOLLANDER, Y., "The Future of Web Server Security: Why your web site is still vulnerable to attack," http://www.cgisecurity.com/lib/wpfuture.pdf , pp.1-9, allegedly posted 2000	
AM	C11	LINDQVIST, et al, "eXpert-BSM: A host-based Intrusion Detection Solution for Sun Solaris," Proc 17 th Annual Computer security Application Conference, pg 240-251, December 2001(copy provided comprises of pp.1-12)	
AM	C12	Copy of First Amended Complaint for Patent Infringement; SRI International, Inc. v. Internet Security Systems, Inc. and Symantec Corporation, U.S. District Court, District of Delaware, Case No. 04-1199 SLR, Pages 1-7 filed 4/25/05.	
AM	C13	Copy of Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s First Amended Complaint, in the action captioned SRI International, Inc. v. Internet Security Systems, Inc. and Symantec Corporation, U.S. District Court, District of Delaware Case No. 04-1199 (SLR), pages 1-15, Certificate of Service dated 05/23/05.	

Examiner /Aravind Moorthy/	Date Considered 08/08/2006
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Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
AM	C14	Copy of Answer and Counterclaims of Internet Security Systems, Inc., a Delaware Corporation, in the action captioned SRI International, Inc., v. Internet Security Systems, Inc. and Symantec Corporation, U.S. District Court District of Delaware, Case No. 04-1199 (SLR), pages 1-22, Certificate of Service dated 05/23/05.	
AM	C15	Copy of Answer and Counterclaims of Internet Security Systems, Inc. a Georgia Corporation, in the action captioned SRI International, Inc., v. Internet Security Systems, Inc. and Symantec Corporation, U.S. District Court, District of Delaware, Case No. 04-1199 (SLR), pages 1-22, Certificate of Service date 05/23/05.	

Examiner	/Aravind Moorthy/	Date Considered	08/08/2006
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language translation is attached.

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